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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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EXAMINER

BROWN JR, NATHAN H

ART UNIT	PAPER NUMBER
2121	

DATE MAILED: 06/19/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary	Application No.	Applicant(s)	
	10/613,560	GOSBY, DESIREE D.G.	
	Examiner	Art Unit	
	Nathan H. Brown, Jr.	2121	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE (3) MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 16 March 2006.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-46 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-46 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

Examiner's Detailed Office Action

1. This Office is responsive to the communication for application 10/613,560, filed March 16, 2006.
2. Claims 1-46 are pending.
3. Claims 1, 3-10, 12-19, 21-30, and 32-46 are rejected under 35 U.S.C. 102(a) as being anticipated by *Rosenschein et al.* (USPN 6,519,631 B1).

Regarding claims 1 & 10. *Rosenschein et al.* teach a method and a system for document analysis and retrieval (*see* Abstract), comprising the following steps performed in the order recited:

transmitting, by a remote host in a first computing system to a web service host in a second computing system (*see* Fig. 1, *Examiner interprets servers 90, 92, and 94 to be remote hosts in a first computing system and server 30 to be web service host in a second computing system.*), a first portion of a document (*see* col. 8, lines 56-58, *Examiner interprets "the data" to be a document.*);

and sequentially transmitting (*see* col. 8, lines 56-66, *Examiner interprets the steps of: (a) drawing "one or more context-indicating words...from the body of text" and transmitting "with the designated word to server 30", (b) the server evaluating "the designated word in the context of the context-indicating words", and (c) and transmitting "data from database 34 responsive to the evaluation" to be sequential steps.*), by the remote host to the web service host, at least one

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additional portion of the document (see col. 8, lines 56-58, *Examiner interprets "the data" to be a document.*), wherein the first portion and the at least one additional portion collectively comprise the entire document (see col. 8, lines 56-58, *Examiner interprets "the data" to be a document.*), wherein the entire document is adapted to be reconstructed and subsequently processed via processing said entire document by the web service host, said processing comprising at least one of:

extracting text from said entire document to configure said text in a text format, if said entire document received by said web service host comprises said text in a non-text format (*see col. 8, lines 45-52, Examiner interprets "an OCR algorithm determines the text" to mean: text is extracted by OCR from the entire document if the document is "a standard broadcast" image.*);

generating document keys associated with said text from analysis of said text in said text format, if said entire document received by said web service host comprises said text in said text format, or if said web service host has previously performed said extracting such that said text in said text format is available to said web service host (*see col. 8, lines 61-66, Examiner interprets "the designated word in the context of the context-indicating words" to be a key associated with said text.*);

and determining, from given categories of a document taxonomy, a set of closest categories to the document based on a comparison between the document keys and category keys of the given categories, if said entire document received by said web service host comprises said document

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keys, or if said web service host has previously performed said generating such that said document keys are available to said web service host (*see col. 9, line 16 to col. 10, line 50, Examiner interprets "concept c_j " to be a category.*).

Regarding claims 19 & 30. *Rosenschein et al.* teach a method and a system for document analysis and retrieval (*see above*), comprising the following steps performed in the order recited:

receiving, by a web service host in a second computing system from a remote host in a first computing system, a first portion of a document (*see above*);

sequentially receiving, by the web service host from the remote host, at least one additional portion of the document, wherein the first portion and the at least one additional portion collectively comprise the entire document (*see above, Examiner asserts that sequential transmitting of the first and second portions of the data implies sequential receiving of the first and second portions of the data.*);

reconstructing the entire document from the first portion and the at least one additional portion (*see col. 2, lines 58-61, Examiner interprets the second portion of the data to consist of the entire document.*);

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and processing the entire document by the web service host, wherein said processing comprises at least one of:

extracting text from said entire document to configure said text in a text format, if said entire document received by said web service host comprises said text in a non-text format (*see above*);

generating document keys associated with said text from analysis of said text in said text format, if said entire document received by said web service host comprises said text in said text format, or if said web service host has previously performed said extracting such that said text in said text format is available to said web service host (*see above*);

and determining, from given categories of a document taxonomy, a set of closest categories to the document, if said entire document received by said web service host comprises said document keys, or if said web service host has previously performed said generating such that said document keys are available to said web service host (*see above*).

Regarding claims 3 & 12. *Rosenschein et al.* teach the method and system, wherein said transmitting and sequentially transmitting comprise respectively transmitting and sequentially transmitting the first portion and the at least one additional portion via Internet transmission to said web service host (*see col. 8, lines 26-27, Examiner interprets server 30 to be web service host.*).

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Regarding claims 21 & 32. *Rosenschein et al.* teach the method and system, wherein said receiving and sequentially receiving steps comprise receiving the first portion and the at least one additional portion via Internet transmission from said remote host (*see col. 8, lines 26-27, Examiner interprets servers 90, 92, and 94 to be remote hosts.*).

Regarding claims 4 & 13 and 22 & 33. *Rosenschein et al.* teach the method and system, wherein said generating comprises: generating tokens of said text such that stop words do not appear in said tokens (*see col. 9, lines 65-67*); and stemming said tokens to generate said document keys from said tokens (*see col. 10, lines 30-37*).

Regarding claims 5 & 14 and 23 & 34. *Rosenschein et al.* teach the method and system, wherein said processing comprises said extracting (*see above*), said generating (*see above*), and said determining (*see above*).

Regarding claims 6 & 15, 7 & 16, 8 & 17, 9 & 18, 24 & 35, 25 & 36, 26 & 37, and 27 & 38. *Rosenschein et al.* teach the method and system, wherein said processing can comprise some combination of the seven (7) out of eight (8) possible processing combinations, where processing comprises at least one of extracting, generating, and determining (*see col. 12, lines 34-39*).

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Regarding claims 28 & 39. *Rosenschein et al.* teach the method and system, wherein said determining comprises:

comparing the category keys of each category (*see col. 9, lines 16-57, Examiner interprets "concepts c_1, c_2, \dots, c_M " to be categories and keywords k_1, k_2, \dots, k_N to be the keys of each category.*) with said document keys (*see col. 9, lines 58-61, Examiner interprets s_1, s_2, \dots, s_N to be document keys.*) to make a determination of a distance between the document and each category as a measure of how close the document is to each category (*see col. 10, lines 1-45, Examiner interprets the score $S(c_j)$ to measure how close a concept (i.e., category) is to the current document.*);

and determining said set of closest categories based on said determination (*see col. 10, lines 47-49, Examiner interprets the set of sorted scores, $S(c_j)$, to be the set of categories ordered by closeness.*).

Regarding claims 29 & 40. *Rosenschein et al.* teach the method and system, wherein said processing comprises said determining, and wherein the method further comprises:

creating a search string, said search string comprising a logical function of a subset of said document keys (*see col. 9, lines 59-61, Examiner interprets $s = s_1, s_2, \dots, s_f, \dots, s_n$ to be a search string where the logical function ("s and f") maps $s_1, s_2, \dots, s_f, \dots, s_n$ to $((s_1, s_2, \dots, s_f, \dots, s_n), f)$.*);

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submitting said search string to a search engine (*see col. 9, lines 59-61*);

receiving links to related documents from said search engine, said links being based on said search string (*see col. 5, lines 24-25, Examiner interprets "computer data relating to the at least one transmitted word" to comprise links.*);

and returning said links to said remote host (*see col. 7, lines 55-63, Examiner asserts that hyperlinks in "database 90" must be links returned to remote host 90.*).

Regarding claims 41 and 43. (New) *Rosenschein et al.* teach the system of claims 1 and 10, respectively, wherein said determining comprises:

comparing the category keys of each category with said document keys to make a determination of a distance between the document and each category as a measure of how close the document is to each category (*see 14. above, Examiner provides Official Notice that the dot product of two vectors is a determination of the distance between the two vectors.*); and determining said set of closest categories based on said determination (*see col. 10, lines 47-49, Examiner interprets the set of sorted scores, $S(c_j)$, to be the set of categories ordered by closeness.*).

Regarding claim 42. (New) *Rosenschein et al.* teach the method of claim 41, wherein said comparing comprises computing said distance for each category as a dot product of a vector of the document keys and a vector of the category keys of each category (*see col. 10, lines 47-49,*

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Examiner provides Official Notice that the dot product of two vectors is a determination of the distance between the two vectors. Examiner interprets the modified positional weights, p_i , to be a vector of document keys and each column of W_{ij} to be a vector of the category keys of each category.).

Regarding claims 44, 45, and 46. (New) *Rosenschein et al.* teach the system of claim 43, the method of claim 28, and the system of claim 39, wherein said comparing comprises computing said distance for each category as a dot product of a vector of the document keys and a vector of the category keys of each category (*see col. 10, lines 47-49, Examiner provides Official Notice that the dot product of two vectors is a determination of the distance between the two vectors. Examiner interprets the modified positional weights, p_i , to be a vector of document keys and each column of W_{ij} to be a vector of the category keys of each category.*).

4. Claims 2, 11, 20, and 31 are rejected under 35 U.S.C. 103(a) as being unpatentable over *Rosenschein et al.* in view of *Mahmoud*, “Registration and Discovery of Web Services Using JAXR with XML Registries such as UDDI and ebXML”, June 2002.

Regarding claims 2 & 11 and 20 & 31. *Rosenschein et al.* teach a method and a system for document analysis and retrieval, as set forth above. *Rosenschein et al.* do not teach a method for document analysis and retrieval, further comprising identifying said web services host, by: executing a Universal Description, Discovery, and Integration (UDDI) search to identify one or more web services hosts who can receive said document in chunks and who can perform said at

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least one of said extracting, generating, and stemming; and selecting said web services host from said one or more web services hosts, prior to the sending step. However, *Mahmoud* does teach a executing a Universal Description, Discovery, and Integration (UDDI) search (*see* §The JAXR Programming Model, Example 2: Performing a query) to identify one or more web services hosts who can receive said document in chunks and who can perform said at least one of said extracting, generating, and stemming; and selecting said web services host from said one or more web services hosts, prior to the sending step (*see* Example 1: Creating an organization and publishing it in the registry, *Examiner asserts that receiving documents in chunks, extracting, generating, and stemming text are services that can be published for a organization by modifying Code Sample 1: PublishORG.java.*). It would have been obvious at the time the invention was made to persons having ordinary skill in the art to combine *Rosenschein et al.* with *Mahmoud* for the purpose of access to a web service host for handling either document analysis or retrieval.

Applicant's arguments with respect to claim 1-46 have been considered but are moot in view of the new ground(s) of rejection.

Correspondence Information

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Nathan H. Brown, Jr. whose telephone number is 571-272- 8632. The examiner can normally be reached on M-F 0830-1700. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Anthony Knight can be reached on 571-272-3687. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306. Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).



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June 14, 2006